

BYRNE MEMORIAL FORMULA GRANT PROGRAM DESCRIPTION

CRIMINAL JUSTICE RECORDS IMPROVEMENT

ELECTRONIC SUBMISSION TO NATMS FROM INTEGRATED BOOKING OPERATIONS

PROGRAM GOALS

The goal of the *Electronic Submission to NATMS from Integrated Booking Operations* program is to upgrade freestanding booking operations, which currently link automated booking information systems with live scan fingerprint devices, with the capability to electronically submit data and fingerprints to State criminal justice information systems. This conversion will create a paperless collection and submission process between local booking operations and State repository systems. At the state level, electronic submission processes will be based on new automated record building and identification services available within NATMS operations ("Networked AFIS Transaction Management System" from the State's AFIS provider, NEC). In addition to allowing more effective paperless processes, electronic submission operations will be configured to support expanded and distributed data reporting capabilities and more rapid fingerprint-based identification services.

This grant program is an extension of an original *Integrated Booking Operations* program that supported purchase and integration of live scan technology, which electronically captures and stores tenprint images, with local criminal history information processing systems. Integrated booking operations facilitate the cost-effective processing of criminal history records at high volume law enforcement agencies and regional jail facilities, with improved submission of information to the State repository in a more accurate, complete, and timely fashion. Grantees under the original grant program are expected to participate in this program to complete the implementation of booking operations that fully meet the objectives of the records improvement program.

OBJECTIVES

- A. Complete submission of mandated criminal history information (fingerprint, arrest information, and prosecutor charge decisions) for all cases charged with at least one reportable offense (100% completeness).
- B. Timely submission of criminal history records within 24 hours of initial booking by arresting agency, for cases with at least one reportable offense (100% timeliness).
- C. Improved submission of accurate information for criminal history records, including fingerprint-based identification of offender in both State and local systems (100% accuracy).

- D. Improved data operations within law enforcement agency which facilitate achievement of above objectives without unduly increasing staff work requirements in the area of criminal history records processing.

PROGRAM ELEMENTS

There are two distinct aspects of the new operations needed to support electronic submission processes from local integrated booking operations: operations related to the initial booking process and operations related to supplemental data reporting processes.

Initial Booking Operations

Initial booking operations take advantage of existing procedures used to book offenders under the current freestanding environment. Offender information is typically entered into the local booking information system and transferred into the live scan workstation. For warrant arrests, authorized charges and Criminal Tracking Number (CTN) are available and processed with the identification and arrest information. For warrantless arrests, only identification and arrest information is available. Therefore, available data will vary for different types of booking.

All available data defined for submission to the Criminal History Records System will be either downloaded to the live scan system from the booking information system or entered directly into the live scan system by the booking officer. Following collection of the offender's fingerprint set on the live scan system, a file must be created for submission to NATMS. There are two primary requirements for this file:

1. Internal tenprint images must comply with the American National Standards Institute's "*Data Format for the Interchange of Fingerprint Information*" (ANSI standard ANSI/NIST--CSL 1-1993) in terms of record format and compression technology
2. Internal data record format must comply with the Michigan State Police's specifications for Type 1 and Type 2 records to support Michigan-specific operations

Note: These capabilities will be developed and distributed by live scan vendors for their respective systems and will be operate in a uniform manner across the state.

Initial booking records will be electronically submitted immediately following completion of the booking process. *Note:* Prior prosecutor authorization of charges punishable by more than 92 days is no longer a requirement for electronic submission of records to the state (although it remains a requirement for card-based submissions.) ANSI standard-compatible records will be compiled and forwarded from the live scan system to the state's NATMS operations over a locally maintained high speed data communications link. Michigan State Police's NATMS operations will process the electronically submitted record and return a fingerprint-based identification of the offender (in the form of a State Identification Number – "SID") to the local

booking operation as expeditiously as possible. Local agencies will eventually need to designate a destination device within the LEIN system to receive SID notification information

Therefore, upgrades to local operations for electronic submission following initial booking processes are needed in several different areas:

1. Addition of fingerprint compression software in compliance with FBI's *Wavelet Scalar Quantization (WSQ) Gray-Scale Fingerprint Image Compression Specification* (provided by each live scan system vendor for their respective system)
2. Addition of NATMS record generation software in compliance with ANSI/NIST standards and Michigan State Police Type 1 and Type 2 record specifications (provided by each live scan system vendor for their respective system)
3. Capability to generate, store and forward to other local criminal justice agencies a *Transaction Control Number (TCN)* for each fingerprinting/booking event for inclusion with initial booking data submitted electronically to NATMS and with supplemental criminal history information submitted to CHRS
4. Enhanced interface with local booking system to transfer additional fields needed to meet Michigan State Police data reporting specifications (e.g., new arrest disposition and other codes, and multiple charge codes beyond current reporting limitation of only most serious arrest codes and authorized charges)
5. Implementation of data communications link between the site of local booking operations and Michigan State Police's NATMS operations in Lansing of sufficient bandwidth to support electronic submission of projected volume of records to NATMS operations

For some installations, items #1 and #2 above will require modification and/or enhancement to the existing live scan system platform to support the additional processing requirements of these operations, which exceed the more limited requirements of the current freestanding operation.

Supplemental Reporting

The electronic submission of any criminal history record from initial booking operations must include all mandated identification, arrest, and charge information. (See Michigan State Police's specifications for Type 1 records for mandatory fields by type of submission.) Incomplete records will be rejected by a preliminary data screening process. However, there are a variety of supplemental reporting requirements, which reflect subsequent decisions following the initial booking, for which local integrated booking operations must make provisions. Supplemental reporting primarily relates to the reporting of Prosecuting Attorney (PA) office decisions for warrantless arrest cases, but other types of supplemental reporting are also supported (e.g., changes to arrest disposition).

Typically, the capture of these follow-up decisions/outcomes for supplemental reporting is best supported by full-featured, bi-directional data exchange mechanisms between information systems within booking operations and information systems at arresting agencies and the county's PA office. Such integration of local criminal justice systems supports the proper tracking and management of criminal cases, elimination of redundant entry of offender and case data, and improved accessibility and availability of criminal case information among agencies. Once captured on a local basis, these decisions/outcomes must be forwarded directly into the Criminal History Records System in the approved format using a LEIN connection.

Proposals under this grant program must describe in detail the mechanism that will be implemented to support:

1. Forwarding of initial booking information with Transaction Control Number from booking operations to arresting agency (if different than booking agency) and PA office as the linking number they will use to report subsequent decision outcomes
2. Reporting of changes in arrest disposition resulting from arresting agency actions to Michigan State Police's Criminal History Records System over a LEIN connection
3. Reporting of changes in arrest disposition and supplemental charge information resulting from PA office actions to Michigan State Police's Criminal History Records System over a LEIN connection
4. Sharing of initial criminal case and disposition information among systems used by booking operations, arresting agencies, and PA offices

Upgrades to Integrated Booking Operations

The capability for electronic submission to NATMS from integrated booking operations involves upgrades to freestanding operations in at least three areas:

- Live scan system capabilities
- Data communications into state operations
- Local integration and data exchanges

The following are cost items which may be included in applications under this grant program.

A. Live-scan system upgrades

Existing live scan systems must be examined in relation to electronic submission requirements and upgraded as needed. This determination must be made in conjunction with the live scan system vendor, who will be the most knowledgeable source regarding the requirements of the NATMS interface.

Live scan upgrades may include any of the following items:

1. Memory/cache enhancements (to support fingerprint image compression routine)
2. Internal motherboard/system unit replacements (to support fingerprint image compression routine)
3. Interface with booking system connection upgrades (to support bi-directional communications to return TCN to booking system)
4. Network interface card to support outbound TCP/IP communications with NATMS (note: this may be in addition to existing connection to booking system computer)
5. Newer model live scan systems to replace older models incapable of supporting electronic submission processes (*Note*: Costs specifically related to model upgrades will require a 50% local match)
6. Fingerprint image compression software, compliant with FBI's WSQ standard
7. NIST-compatible record creation software able to generate Type 1 and Type 2 data records in compliance with FBI and Michigan State Police specifications
8. TCP/IP software

Note: For eligible booking operations which have not yet purchased a live scan system, a new system may be included in their proposal.

B. Data Communications Link to NATMS

Local booking operations must implement a data communications link from their operations into Michigan State Police's NATMS operations. This link must comply with state standards for bandwidth, security, and support. The state's existing contract with Ameritech for wide area network data services will be used for these connections. Additional information on options for data communications and related security requirements of the state is provided in the *Automated Identification and Record Building Services* manual available from Michigan State Police Central Records Division.

C. Local integration and data exchanges

Upgrades for two distinct areas of system integration may be included with proposals for implementation of electronic submission capabilities:

1. Modifications to existing automated interface with local booking system to support expanded requirements for NATMS record format (e.g., for additional data fields, record type identification, protocols for forwarding to NATMS and the like). These modifications will likely be developed by the same process as was originally used to integrate the live scan and booking systems for freestanding operations. *Note*: if contracts with commercial software vendors are needed to modify an application used by other facilities which will potentially implement electronic submission capabilities, these software modifications must

be made available to other user sites for the only the cost of installation and setup services.

2. Development of new or modification of existing data exchange mechanisms with the county Prosecuting Attorney office systems is limited to those PA offices which use any system other than the system provided by PACC/PAAM. (*Note: Modifications to the interfaces between the PACC/PAAM system and booking information systems are covered by grant funds available from Michigan State Police through the National Criminal History Improvement Program - NCHIP. Agencies in applicable counties should contact technical staff at PACC/PAAM for more details*).

Such modifications must support submission in an electronic form of all supplemental data reporting requirements outlined in the materials distributed on May 3, 1996 at the Michigan State Police workshop entitled *Building the Live Scan Link - Supplemental Reporting After Initial Booking from Integrated Booking Operations*. Contact MSP Central Records Division using their toll-free information line at 888-322-1956 to arrange to receive a copy of these materials and to clarify any issues regarding these requirements.

EVALUATION

The evaluation of the project will consist of a measurement of its impact on the accuracy, completeness, and timeliness of booking and charging information in the criminal history records submitted from the agency following implementation of electronic submission processes from integrated booking operations. This evaluation will be completed by conducting an initial benchmark audit followed by a post implementation audit of criminal history records using a methodology approved by the Office of Drug Control Policy. The project may also foster improvements in local data operations which can be documented in terms of more cases processed, quicker processing of cases, increased staff productivity, improved system integration, and the like.